

**PURSUANT TO AN ACT OF THE ALABAMA LEGISLATURE, INCREASES IN
REGISTRATION, LICENSURE AND RENEWAL FEES ARE EFFECTIVE
AUGUST 1, 2009.**

Broker Dealer Firms §8-6-3	\$ 250.00
Broker Dealer Agents §8-6-3	\$ 60.00
Issuer Agents §8-6-3	\$ 60.00
Investment Adviser Firms §8-6-3	\$ 250.00
Investment Adviser Representatives §8-6-3	\$ 60.00
Securities Registration §8-6-8	
Coordination, Qualification	\$ 40.00 filing fee + registration fee of 1/10 of 1% of aggregate price offered in Alabama. No less than \$100.00 but not to exceed \$1,500.00 (Max fee \$1,540.00, Min fee \$140.00)
Open End Management Company, Face Amount Certificate Company or Unit Investment Trust registering an indefinite amount:	\$100.00 filing fee + registration fee of \$1,500.00
Exempt Securities §8-6-11	
Regulation D, Rules 505 and 506	\$ 300.00
Expansion Filings	\$ 300.00
Further Limited Offerings, Rule 830-x-6-.12	\$ 300.00, extension \$150.00
Open End Management Investment Company fees are based on total net assets. §8-6-11	
Less than or equal to \$25 million	\$ 350.00
Greater than \$25 million, less than \$100 million	\$ 700.00
Greater than or equal to \$100 million	\$1,200.00
Unit Investment Trusts §8-6-11	\$ 200.00

Log onto www.asc.state.al.us to view all fees and changes for Code of Alabama, 1975.